

Corrective Actions

Findings, deficiencies, and/or concerns identified from assessments or inspections must be corrected by the responsible organization to maintain a safe and environmentally responsible work environment and to sustain continuous improvement in ES&H programs. For internal and external reviews, divisions and other organizations responsible for developing appropriate corrective actions must have a clear understanding of the following:

- The conditions that warrant the corrective actions. Typical conditions include noncompliance with ES&H regulations and requirements; the presence of hazards that are potentially harmful to employees, the public, or the environment; or a breakdown of systems and processes detrimental to the local or institutional ES&H program.
- The severity of the consequences and the likelihood of occurrence. In order to establish priorities and timeliness for corrective actions, risks and hazards must be assessed. The type of actions planned, not only to correct the immediate cause but also to correct the root cause to prevent recurrence.
- The commitment of resources, including staff and funds, necessary to correct the undesirable conditions.

Divisions are required to enter assessment findings and corrective actions into the Laboratory's Corrective Action Tracking System (see below).

LBNL Corrective Action Tracking System (CATS)

To facilitate the development, tracking, and closeout of corrective actions, the Laboratory uses a computerized database called the LBNL Corrective Action Tracking System (CATS). CATS helps identify and track the following information:

- identification of the assessment type
- description of each finding to be corrected, including location
- description of the corrective task(s) for each finding, including the performance objective to be attained through its completion
- the person accountable for implementation and closeout of the corrective actions for the particular assessment. This individual must have the authority to bring about the necessary improvements and is typically a senior division manager, division safety coordinator, or EH&S functional manager.
- schedule, including applicable milestones, for the completion of each task.

CATS also used to assign a hazard level to the finding to reflect the severity of the consequences and the likelihood of occurrence.

After the corrective actions are entered into CATS, OCA monitors progress of the corrective actions and provides reports to management. Completion of the corrective actions must be noted in the electronic file and validated as appropriate by the division safety coordinator, EH&S functional manager, or OCA staff.